

**AUDIT OF THE DEPARTMENT OF PUBLIC WORKS (JOB#0101) WP#E-0/2-1
REAL ESTATE DIVISION – ACQUISITION AND RELOCATION PROCESS**

FIELDWORK AUDIT PROGRAM AND RESULTS FILE

Auditor: R. Klenke

Date: 8/10/01

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APPROVED:

DATE:

**OBJECTIVE E: TO EVALUATE THE EFFICIENCY AND EFFECTIVENESS OF THE
DEPARTMENT OF PUBLIC WORKS REAL ESTATE DIVISION'S ACQUISITION AND
RELOCATION PROCESS**

E-1 SUB-OBJECTIVE: To determine whether the Real Estate Division's Acquisition and Relocation Process is timely. (Threats: T-16, T-17, T-18, T-19, T-20, T-21)

E-1.1--- Describe the Acquisition and Relocation services the Real Estate Division provides. Determine whether project target dates are documented and enforced. Determine the level of customer satisfaction regarding timeliness and other matters of the Public Works' Real Estate Acquisition and Relocation services. Interview PWRE staff re: acquisition and relocation process.

(Controls: C-1, C-2, C-6, C-14, C-15)

NOT STARTED.

E-1.2--- Find out how management tracks work assignments. Describe the Division's project management filing system(s). Interview customers of the Real Estate Division. **(Controls: C-1, C-3, C-6, C-14, C-15)**

NOT STARTED.

E-1.3--- Document whether there are completion target guidelines for acquisition and relocation. Determine if there is any type of follow-up when staff misses deadlines. Interview City Attorney representative re: PWRE performance. Interview City Attorney re: services they provide to Real Estate per Real Estate requests. **(Controls: C-2, C-7, C-8, C-11, C-14)**

NOT STARTED.

E-1.4---Select a sample of acquisition activity files from the Real Estate Division Master Overview of Work Requests.

NOT STARTED.

E-1.5---Summarize sub-objective results:

- Overall assessment and/or conclusion;
- Audit issues or findings;
- If information comes to the auditor's attention indicating that abuse or illegal acts may have occurred, the Auditor-in-Charge will immediately notify the City Auditor and the

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Supervising Auditor. Audit steps will be extended as necessary and the auditor should determine the extent to which these acts significantly affect the audit results. (*Audit standards FWS 3A and 3B*).

NOT STARTED.

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E-2 SUB-OBJECTIVE: To assess whether the Real Estate Division is in compliance with Acquisition and Relocation laws and regulations. (Threats: T-1, T-2, T-3, T-4, T-5, T-7, T-8, T-10, T-11)

E-2.1--- Obtain and review policies and procedures –

- Title 25 – California Housing Code: Chapter 6
 - Relocation Guidelines
 - Caltrans Right of Way Policies and Procedures
- (Controls: C-1, C-2, C-3, C-4, C5, C-6, C-7, C-8, C-9, C-10, C-11, C-12, C-13, C-14, C-15)**

NOT STARTED.

E-2.2--Determine whether the staff follows the procedures for acquiring private residence and business properties and for relocating the occupants/owners if relocation is necessary.

- Offer of Just Compensation
 - Relocation Plan prepared (as necessary)
 - Last Resort Housing planned (as necessary)
 - Relocation benefits – communicated?
 - Relocation Replacement Studies performed?
 - Decent, Safe and Sanitary? (DS&S)?
- (Controls: C-1, C-2, C-3, C-4, C-6, C-7, C-8, C-10, C-11)**

NOT STARTED.

E-2.3---Obtain and review the Master Overview of Work Requests – Status notes that may indicate:

- Compliance with Procedures and Regulations
 - Relocation Benefits – communication, documentation, and monitoring
- (Controls: C-2, C-3, C-14, C-15)**

NOT STARTED.

E-2.4---Summarize sub-objective results:

- Overall assessment and/or conclusion;
- Audit issues or findings;
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NOT STARTED.

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E-3 SUB-OBJECTIVE: To ascertain whether Relocation benefits are appropriately monitored. (Threats: T-6, T-9, T-12, T-13, T-14, T-15)

E-3.1--- Determine how relocation benefits are communicated to those entitled to them. Document the meetings/correspondence that evidences communication. Review “Statement of Relocation Benefits” the Real Estate Division provides. **(Controls: C-1, C-2, C-3, C-6)**
NOT STARTED.

E-3.2--- Investigate how the division monitors the relocation process. Identification and recommendation of properties to customers, recording relocation payments to eligible parties. **(Controls: C-1, C-2, C-3)**
NOT STARTED.

E-3.3---Summarize sub-objective results:

- Overall assessment and/or conclusion;
- Audit issues or findings;
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NOT STARTED.

**AUDIT OF THE DEPARTMENT OF PUBLIC WORKS (JOB#0101) WP#E-0/2-5
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E-4 SUB-OBJECTIVE: To determine whether the Real Estate Division’s staffing level is compatible with its workload. (Threat: T-22)

E-4.1--- Determine how Work Requests/projects the division receives are assigned. Document the method by which management tracks project status/progress of the assignment. **(Control: C-14)**
NOT STARTED.

E-4.2--- Obtain and review the Master Overview of Work Requests, Real Estate Division City Attorney Work Request List, and the Master Overview of Closed Work Requests/Projects.
(Controls: C-1, C-4, C-14)
NOT STARTED.

E-4.3--- Describe Public Works’ Real Estate management tools for monitoring the acquisition and relocation portions of the process. **(Controls: C-3, C-4, C-7, C-9, C-11, C-14, C-15)**
NOT STARTED.

E-4.4--- Determine the condition of the Real Estate division’s filing system. Obtain and review any logs or reports the division uses to assign, monitor, cross-reference, and close/complete work requests/projects. **(Controls: C-4, C-7, C-12, C-14)**
NOT STARTED.

E-4.5---Summarize sub-objective results:

- Overall assessment and/or conclusion;
- Audit issues or findings;
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NOT STARTED.

**AUDIT OF THE DEPARTMENT OF PUBLIC WORKS (JOB#0101) WP#E-0/2-6
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E-5 SUB-OBJECTIVE: SUMMARIZE RESULTS OF OBJECTIVE

E-5.1 Prepare preliminary Finding Development Sheets as appropriate. Submit all new or revised Finding Development Sheets to City Auditor with APR according to established bi-weekly schedule. Evaluate whether additional audit steps are required to develop the elements of a complete finding. At the next bi-weekly meeting, discuss the preliminary findings, or the lack thereof, with the City Auditor to assess whether to revise, expand or drop subsequent audit objectives and audit steps.

NOT STARTED.

E-5.2 Prepare interim reports to the auditee as necessary. (Audit Standard RS-2.2)

NOT STARTED.

E-5.3 Complete numbering, labeling, and cross-indexing of workpapers, workpaper index, and other audit documents.

NOT STARTED.

E-5.4 In-charge Review of workpapers, APR files, and indexes prepared by others. Respond to reviewer's notes as necessary.

NOT STARTED.

E-5.5 Schedule Supervising Auditor review of workpapers and APR files. Respond to reviewer's notes as necessary. (File at A-8)

NOT STARTED.

E-5.6 Schedule Second Audit Standards Review after final phase of fieldwork. (Procedure 5-01, Section IV-3.2) Respond to reviewer's notes as necessary.

NOT STARTED.